

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of  
Robert O. James, et al

CORE SHELL NANOCOMPOSITE  
OPTICAL PLASTIC ARTICLE

Serial No.

Filed

Group Art Unit:

Examiner:

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August 18, 2003

Date

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA. 22313-1450

Sir:

**INFORMATION DISCLOSURE STATEMENT FOR CONSIDERATION**  
**BY THE OFFICE UNDER 37 C.F.R. 1.97-1.99**

Enclosed herewith are patents and/or publications for consideration by the Patent and Trademark Office in regard to the invention claimed in the above-described application. In compliance with §1.56, such documents are listed in the enclosed Form PTO-1449.

Applicants request that the Patent and Trademark Office make of record the above-identified documents. Unless otherwise indicated, a full text copy of each document is attached. For documents not in English, an English translation or an equivalent English language patent or publication may be attached. Where a translation is not available, a concise explanation of the relevance of each document not in English is included either here or in the specification.

This Information Disclosure Statement (hereinafter "Statement") is submitted according to the following selected paragraph:

- I.  This Statement is being filed under §1.97(b) within three months of the filing date of the application (other than a CPA), or before the mailing of a first Office action on the merits or before the mailing of a first Office action after the filing of a request for continued examination.
  
- II.  This Statement is being filed under §1.97(c), with fee, **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account Number 05-0225. A duplicate copy of this Certification is enclosed.

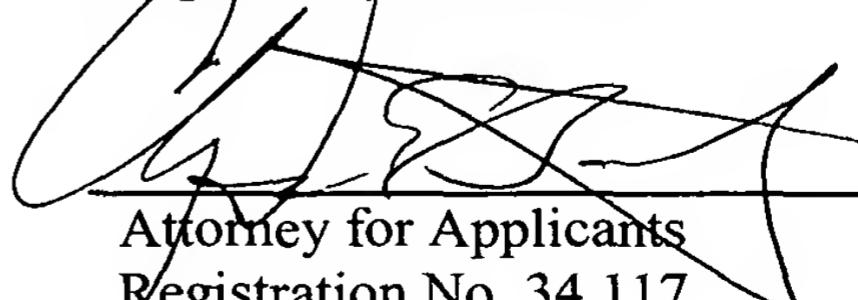
III.  This Statement is being filed under §1.97(c), with a certification under, §1.97(e) **prior** to the mailing date of any of a final action, a notice of allowance or an action that otherwise closes prosecution in the application. The undersigned hereby states that (check one):

- each item of information contained in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.
- no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

IV.  This Statement is being filed under §1.97(d), with fee and certification under §1.97(e), on or after the mailing date of either a final action, a notice of allowance (but prior to payment of the issue fee) or an action that otherwise closes prosecution in the application. Please charge the fee required by §1.17(p) to Eastman Kodak Company Deposit Order Account No. 05-0225. A duplicate copy of this Certification is enclosed. The undersigned hereby states that (check one):

- each item of information in this Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of this Statement.
- no item of information in this Statement was cited in a communication from a foreign patent office in a counterpart foreign application, and, to the knowledge of the person signing this certification under §1.97(e) after making reasonable inquiry, no item of information contained in this Statement was known to any individual designated in §1.56(c) more than three months prior to the filing of this Statement.

Respectfully submitted,



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| FORM PTO-1449      US DEPARTMENT OF COMMERCE<br>PATENT AND TRADEMARK OFFICE   |  | Atty. Docket No.<br><b>85466CEB</b><br>Customer No. 01333 | Serial No. |
| If AFTER the later date of the first Office Action<br>or 3 months from filing, use only with Rule 97(E)<br>Certificate or Fee |  | Applicant:<br><b>Robert O. James, et al</b>               |            |
| LIST OF ART CITED BY APPLICANT<br><i>(Use several sheets if necessary)</i>  |  | Filing Date   | Group      |

| U.S. PATENT DOCUMENTS |                 |            |               |       |          |                               |
|-----------------------|-----------------|------------|---------------|-------|----------|-------------------------------|
| Examiner<br>Initial*  | DOCUMENT NUMBER | DATE       | NAME          | CLASS | SUBCLASS | FILING DATE<br>IF APPROPRIATE |
|                       | 5,217,804       | 06-08-1993 | James et al.  |       |          | 11-06-1990                    |
|                       | 5,252,441       | 10-12-1993 | James et al.  |       |          | 11-06-1990                    |
|                       | 5,985,173       | 11-16-1999 | Gray et al.   |       |          | 11-18-1997                    |
|                       | 6,441,077       | 08-27-2002 | Border et al. |       |          | 12-22-2000                    |

| FOREIGN PATENT DOCUMENTS |                 |            |         |       |          |                            |
|--------------------------|-----------------|------------|---------|-------|----------|----------------------------|
| Examiner<br>Initial*     | DOCUMENT NUMBER | DATE       | COUNTRY | CLASS | SUBCLASS | TRANSLATION<br>YES      NO |
|                          | 97/10527        | 1997-03-20 | WO      |       |          | X                          |
|                          | 99/21934        | 1999-05-06 | WO      |       |          | X                          |

| OTHER ART (Including Author, Title, Date, Pertinent Pages, Etc.) |  |
|--|--|
|  | Lucien Prod'homme, "A New Approach To The Thermal Change In The Refractive Index Of Glasses," Physics and Chemistry of Glasses, Vol. 1, No. 4, August 1960, pages 119-122  |
|  | C. Becker et al., "Optical And Thermomechanical Investigations On Thermoplastic Nanocomposites With Surface Modified Silica Nanoparticles," SPIE Conference on Organic-Inorganic Hybrid Materials for Photonics, San Diego, California, July 1998, SPIE Vol. 3469, pages 88-98 |
|  | B. Braune et al., "Tantalum Oxide Nanomers For Optical Applications," SPIE Conference on Organic-Inorganic Hybrid Materials for Photonics, San Diego, California, July 1998, SPIE Vol. 3469, pages 124-132   |
|  | Milton Kerker, "The Scattering Of Light," 1969 Academic Press  |

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|--|-----------------|
| EXAMINER   | DATE CONSIDERED |
| <b>*EXAMINER:</b> Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. |                 |